

<b>DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION</b> <b>(37 CFR 1.63)</b>  <input checked="" type="checkbox"/> Declaration Submitted with Initial Filing      OR      Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16(e)) required)	Attorney Docket Number	STAN-147
	First Named Inventor	Mignot
	<b>COMPLETE IF KNOWN</b>	
	Application Number	N/A
	Filing Date	Herewith
	Group Art Unit	N/A
	Examiner Name	N/A

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Hypocretin Receptor in Regulation of Sleep and Treatment of Sleep Disorders

the specification of which:

☒ is attached hereto

OR

☐ was filed on \_\_\_\_\_ as United States Application Number or PCT International Application Number \_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined by 37 CFR 1.56.

Insofar as the subject matter of each of the claims of this application are not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designating at least one country other than the United States of America, listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) having a filing date before that of the application(s) of which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			—	—	—
			—	—	—
			—	—	—
			—	—	—

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)
60/146,623	July 30, 1999
60/171,857	December 22, 1999

Atty Dkt No. STAN-147

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) or any PCT international application(s) designating the United States of America, listed below.


U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)

**DIRECT ALL CORRESPONDENCE TO:**

Name	Carol L. Francis				
Address	BOZICEVIC, FIELD & FRANCIS LLP				
Address	200 Middlefield Road, Suite 200				
City, State, Zip	Menlo Park, CA 94025				
Country	U.S.A.	Telephone	650-327-3400	Facsimile	650-327-3231

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**Name of Sole or First Inventor:**

Given Name (first and middle [if any])				Family Name or Surname			
<del>Emmanuel</del> Emmanuel				Mignot			
Inventor's Signature						Date	07/27/00
Residence: City	Palo Alto	State	CA	Country	USA	Citizenship	France
Post Office Address	771 Ramona Street						
City	Palo Alto	State	CA	Zip	94301	Country	USA



JUL-28-00 FRI 12:15 PM BOVIC, FIELD &amp; FRANCIS

FAX NO. 650 321 1131

P. 02

Applicant/Patentee: Mignot  
Serial or Patent No.: N/AAtty. Docket No.: STAN-147  
Filed: Herewith**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
37 CFR 1.9(e) and 1.27(d) -- NON-PROFIT ORGANIZATION**

I hereby declare that I am ☐ the owner of the small business concern identified below or ☒ an official empowered to act on behalf of small business concern identified below:

NAME OF CONCERN: OptiGen, LLC  
ADDRESS: 33 Thornwood Drive, Suite 102, Ithaca, New York 14850

I declare that the above-described concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under 41(a) and (b) of Title 35, United States Code

I declare that rights under contract or law have been conveyed to and remain with the above non-profit organization with regard to the invention entitled *Hypocretin Receptor in Regulation of Sleep and Treatment of Sleep Disorders* by inventor(s) Emmanuel Mignot, described in the specification submitted herewith. If the rights held by the above-identified non-profit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below<sup>1</sup> and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). <sup>1</sup>Note: separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

Name: The Board of Trustees of the Leland Stanford Junior University  
Address: 900 Welch Road, Suite 350, Palo Alto, California 94304☐ individual    ☐ small business concern    ☒ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I declare that all statements made herein of my own knowledge are true and all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 1001 of Title 18 of the U.S. Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name/Title: Jeanette S. Felix, President and Manager  
Address: 33 Thornwood Drive, Suite 102, Ithaca, New York 14850Signature: Jeanette S. FelixDated: 7/28, 2000

Applicant/Patentee: Mignot  
Serial or Patent No.: N/A

Auy. Docket No.: STAN-147  
Filed: Herewith

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**37 CFR 1.9(c) and 1.27(d) -- NON-PROFIT ORGANIZATION**

I hereby declare that I am ☐ the owner of the non-profit organization identified below or  
☒ an official empowered to act on behalf of the non-profit organization below:

NAME OF CONCERN: The Board of Trustees of the Leland Stanford Junior University  
ADDRESS: 900 Welch Road, Suite 350, Palo Alto, California 94304

I declare that the above-described concern qualifies as a non-profit organization as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(e), for purposes of paying reduced fees under 41(a) and (b) of Title 35, United States Code

I declare that rights under contract or law have been conveyed to and remain with the above non-profit organization with regard to the invention entitled *Hypocretin Receptor in Regulation of Sleep and Treatment of Sleep Disorders* by inventor(s) Emmanuel Mignot, described in the specification submitted herewith. If the rights held by the above-identified non-profit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below<sup>1</sup> and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). <sup>1</sup>Note: separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

Name: \_\_\_\_\_  
Address: \_\_\_\_\_

☐ individual    ☐ small business concern    ☐ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I declare that all statements made herein of my own knowledge are true and all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 1001 of Title 18 of the U.S. Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name/Title: Katharine Ku, Director, Technology Licensing  
Address: 900 Welch Road, Suite 350, Palo Alto, California 94304

Signature: \_\_\_\_\_

Dated: July 28, 2000